STATEMENT OF WORK

The successful proposer will demonstrate an understanding of the objectives for the SC-CMS project and will provide AOC with an approach that demonstrates understanding of industry best practices and experience in similar projects. Vendor must propose to provide AOC, the courts, and the county clerks with services and deliverables in the following categories:

- *Project Management.*

- *Organizational Change Management Support.*

- *System Design and Construction.*

- *System Delivery.*

- *System Implementation.*

- *Training.*

- *System Support.*

These categories are described in more detail in the following sections. EXHIBIT N must be used as a reference to properly prepare a response for EXHIBIT O, which must be provided in Vendor proposal.

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This Statement of Work (SOW) is made and entered into by and between the Administrative Office of the Courts (AOC), hereinafter referred to as AOC, and *[Vendor Name]* (Vendor) for contracted services to provide a commercial off-the-shelf (COTS) Superior Court Case Management System, hereinafter referred to as SC-CMS.

This SOW incorporates by reference the terms and conditions of Contract Number PSCXXXXX in effect between AOC and Vendor. In case of any conflict between this SOW and the Contract, the Contract shall prevail. AOC and Vendor agree as follows:

1. Project Management

    Requirements in this category outline specific management and control services associated with the implementation of SC-CMS. Meeting these requirements will help ensure that Vendor conducts proper project planning, execution, and monitoring and controlling of project activities. Required deliverables are described below.

    1.1. Prepare Project Management Plan

        Based on the agreed-upon scope of work and other agreements in contract negotiation, Vendor is required to develop a comprehensive and detailed project management plan. The project management plan should reflect best practices in project management applied to the unique needs of the SC-CMS project. The project management plan must include the following elements:

        - Project organization, including structure, roles, responsibilities, and human resource management.

        - Project work breakdown structure and schedule, fully loaded with dependencies and resource requirements.

- Approach to managing scope, budget, and schedule.

- Approach to ensuring effective project communication.

- Approach for identifying, tracking, and resolving issues and risks, including roles, responsibilities, escalation process, and tools for reporting issues and risks to the SC-CMS project manager.

- Approach to configuration management for reviewing, accepting, and maintaining version control on all project deliverables.

- Approach for quality management, for ensuring high quality deliverables, and for project quality control. This must consider coordination with both internal and external quality assurance professionals.

- Approach to decision management, outlining a structured approach to documenting and resolving key project decisions.

Vendor is required to submit the draft project management plan to AOC sixty (60) days after the finalization of the project contract. Upon review and acceptance, the final project management plan will serve as the basis for controlling all project management activities.

1.2. Provide Project Management

It is anticipated that SC-CMS implementation will involve a number of interrelated projects to construct/configure applications, refine court procedures, enable interoperability with other applications, convert legacy data, and roll out the applications into the superior courts around the state. Vendor will be responsible for the ongoing planning, monitoring, controlling, and reporting of project performance across projects within the scope of this engagement. Vendor shall coordinate its project management efforts and reporting with the efforts of the Information Services Division (ISD) Project Management Office and the external quality assurance professional. In addition, Vendor will coordinate its efforts and reporting with AOC and the courts where the SC-CMS is being installed. All of these efforts are under the direction of the SC-CMS project manager.

Vendor will provide effective on-site project management for all of the contracted services and product delivery. Vendor shall provide sufficient project management services to:

- Ensure that all deliverables are produced according to contract schedule.

- Respond to reasonable inquiries about project status and risks in a timely manner.

- Identify issues, risks, and alternative solutions with sufficient time for AOC to effectively address these matters.

These services shall be provided by one or more currently certified Project Management Professionals (PMPs; with certification through the Project Management Institute, Inc. [PMI]) on site, primarily in Olympia, on a full-time basis until rollout is complete.

1.2.1. Produce Written Monthly Status Report

Vendor will be required to deliver monthly project status reports to the SC-CMS project manager throughout the duration of the project. Project status reports are

intended to be relatively brief snapshots of the project's status and should consist of the following information:

- Updated project work plan, schedule, staff plan, and budget.

- Report of project status and performance against all plans.
    - Progress against the project work plan completed in the reporting period.
    - Variance in schedule between actual and planned activities.

- Planned activities for the subsequent reporting period.

- Report of issues and issue resolution efforts and progress.

- Report of risks and risk mitigation efforts and progress.

1.2.2. Conduct Monthly Status Meeting

In conjunction with monthly status reports, Vendor will be required to attend a monthly status meeting to be held between Vendor and the Steering Committee. Vendor will be required to provide a brief in-person presentation to the Steering Committee regarding the status of the project. Issues, risks, and challenges to the project will be discussed during this meeting, and the Steering Committee will either resolve each issue or elevate it to the Judicial Information System Committee (JISC). If matters are referred to the JISC, Vendor will make an in-person presentation to the JISC.

2. Provide Organizational Change Management Support

The SC-CMS implementation will impact both AOC staff and the court community. It will be imperative that impacted staff and court stakeholders "buy in" to this implementation in order to ensure its success. To that end, Vendor will provide effective support and assistance to AOC with the following organizational change management activities:

- Assessing impacts to people, policies, business processes, roles, and responsibilities.

- Defining and refining success / performance measures and metrics.

- Updating and implementing AOC key stakeholder engagement plans.

- Updating and implementing AOC communications plan.

- Developing and executing the AOC future state implementation plan.

3. System Design and Construction

Requirements in this category include all activities necessary to develop, assemble, and otherwise prepare the proposed system for implementation. The nature of the proposed system may determine to some degree the activities necessary to complete this phase of work; however, it is anticipated that these activities will include, at a minimum:

3.1. Prepare SC-CMS Design and Construction Plan

Vendor will be required to submit its plan for assembling the proposed components into a single system for deployment to the courts. The schedule and resources required for system design and construction should be reflected in the project management plan. This plan must include, at a minimum:

- Approach to design and construction.

- Design and construction schedule.

- Resources required (court, AOC, and Vendor) for each step in development.

3.2. Conduct Requirements Gap Analysis

Vendor must (working with a representative group of subject matter experts [SMEs] selected by AOC) conduct and complete business and technical analysis to determine the gaps between the needs of AOC and what the Vendor's system provides. This analysis must incorporate the Vendor's response to requirements as presented in the Vendor's proposal (and modified in contract negotiations). Major gaps that are identified must be accompanied by a plan for resolving each gap through system configuration, additional development, or additional component incorporation. This analysis must result in a detailed inventory of system customizations or other modifications required to meet the needs of AOC, courts, and the county clerks.

3.3. Track Requirements to Implementation

Vendor must provide a mechanism for tracking adherence to the requirements identified in this RFP as well as additional requirements identified in gap analysis and system design activities. This mechanism must support change management and traceability through user acceptance testing. Vendor must populate, maintain, and provide AOC with access on demand to this tool and the information it maintains.

3.4. Design SC-CMS

Vendor must provide functional and technical design documentation for the SC-CMS along with the libraries, tools, and facilities to maintain this documentation. This documentation shall include:

- Use case documentation.

- Data dictionary.

- Information Exchange Packet Documentation.

- Network design, inventory, protocols, and configuration.

- Security design.

- Hardware design and inventory.

- Data backup and disaster recovery plan.

- Application design and inventory.

- Change control documentation for all aspects of the design.

3.5. Construct and Execute SC-CMS Interoperability Prototype

Within one hundred eighty (180) days of the finalization of the contract for this engagement, Vendor must provide a prototype proving that all hardware, network, and software components proposed to implement SC-CMS will interoperate. This proof of concept for all SC-CMS components must demonstrate basic functionality and interoperability for at least one case type. This prototype must demonstrate:

- Filing and case initiation.

- Record keeping.

- Scheduling and calendaring.

- Document generation.

- Case flow management.

- Courtroom operations.

- Disposition.

- System security.

- Operations/management reporting.

- Automated interfaces.

- Electronic quality assurance.

- Integration between systems and components.

- Statistical reporting.

- Ad hoc reporting.

- Ad hoc inquiry.

- Integrated justice interoperability.

- Integrated case search by person.

While this must be a live demonstration, it is not required to be error free nor meet application performance requirements. It must operate in the computing environment of AOC and a local court and should operate with the AOC's and the court's firewall, virtual private network, and wireless security protocol.

3.6.   Construct and Execute SC-CMS Performance Prototype

One hundred twenty (120) days prior to the initiation of the pilot implementation, Vendor must successfully complete a demonstration of the performance prototype. This prototype must demonstrate all SC-CMS functions for all case types. In addition, the prototype must complete all documented use cases within the peak operational performance requirements (transaction, hourly, daily, and weekly). It must simulate production operating conditions on equipment and networks in both large courts and dispersed courts in the state's rural areas.

While this must be a live demonstration, it is not required to be error free.

3.7.   Perform Unit and Integration Testing

Vendor must provide a plan and environment for all testing efforts of every aspect of the SC-CMS. This must be completed and fully functional prior to key project milestones, including:

- Pilot implementation.

- Production Release 1.0.

- Production Release 2.0.

- Interim releases produced after the pilot implementation.

In addition, test plans and environment structure must describe and support testing of:

- All functional requirements defined in the requirements traceability deliverable.

- All performance requirements.

- Individual court data conversion and configuration.

Testing of individual components may be performed prior to full system assembly. However, Vendor must provide a testable full version of the system prior to moving to the pilot implementation. The testing deliverable must include:

- Test plans and test cases.

- Test environment and test database for unit and integration testing, major component testing, and product acceptance testing.

- Any testing tools/materials used by Vendor.

- Documented test results, to be provided to the SC-CMS project manager.

This deliverable must provide AOC with the infrastructure, licenses, and training to efficiently test new releases and deployments of SC-CMS and other AOC applications.

4.   System Delivery

Vendor will provide three releases of SC-CMS: Pilot; Production Release 1; and Production Release 2. Vendor will also prepare an initial and a long-term release plan for the SC-CMS.

4.1.   Produce SC-CMS Pilot

The proposed system must be deployed in a pilot superior court. The pilot will be used as a proof of concept, as well as a fully operational application providing all requested functionality.

This deliverable will include all software required for the pilot SC-CMS operation, in both source and executable formats.[1] It shall be integrated and configured in a mutually agreed-upon pilot configuration. This shall include both technical (e.g., Database Management System [DBMS], client software images) and functional (e.g., forms, reports, security) configurations. The pilot implementation shall integrate with the enterprise authentication and authorization (security) protocol and shall include the baseline configuration of SC-CMS for the State of Washington.

It shall be fully tested with fully converted data and local configuration for the pilot site. The test must be complete and fully documented with no Severity Level 1 or Severity

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[1]   It is anticipated that the SC-CMS pilot will be delivered as some combination of: (1) custom-developed software created as a work for hire and intellectual property of the Washington AOC; (2) Vendor-provided software licensed to the Washington AOC; and (3) third party software that is licensed to the Washington AOC. As a part of this deliverable, all software components will be clearly itemized. A well organized and verifiable copy of the source code for software delivered as described in (1) and (2) above shall either be loaded on Washington AOC servers or placed with an escrow agent. Executable versions of the pilot SC-CMS shall be placed on test, training, staging, recovery, and production servers.

Level 2 errors. It shall be in a format that the Washington AOC can readily deploy and install to the pilot installation sites.

4.2. Prepare Initial Release Plan

Once the system pilot is complete, modifications to the system based upon the lessons learned from the pilot implementation must be made prior to full rollout. Vendor shall document the results of the pilot implementation, identifying the modifications that will be made prior to production rollout. Vendor shall prepare a plan for the design, development, and testing of what will be the first release of the production SC-CMS. In addition, Vendor will outline the plans for the next two versions of SC-CMS.

4.3. Produce Production SC-CMS Release 1

This will be the system that will be rolled out to the superior court locations throughout the state. The system will be based upon stated requirements, analysis, and results of the pilot. The system must be a single, integrated set of applications that are configurable to the needs of each court location and are able to be maintained through a statewide update and patch release cycle. This release shall include and implement facilities and procedures for software promotion from development through testing and into production (along with rollback facilities and procedures). This deliverable will include all software required for SC-CMS operation, in both source and executable formats.[2] It shall be integrated and configured in a mutually agreed-upon standard configuration. This shall include both technical and functional configurations. This shall include the updated baseline configuration of SC-CMS for the state of Washington.

It shall be fully tested with fully converted data and current local configuration for the pilot site. The test must be complete and fully documented with no Severity Level 1 or Severity Level 2 errors. It shall be in a format that the Washington AOC can readily deploy and install.

4.4. Prepare Long-Term Release Plan

Once Release 1.0 of SC-CMS has been in operation for 1 year, modifications to the system based upon the lessons learned from initial production operations will be identified. Vendor shall prepare a plan for the design, development, and testing of what will be the second major release of the production SC-CMS. In addition, Vendor will outline the plans for the next two versions of SC-CMS.

4.5. Produce Production SC-CMS Release 2

This will be the second major release of SC-CMS. It will be based upon stated requirements, analysis, and results of the initial production implementation of SC-CMS. The system must be a single, integrated set of applications that are configurable to the needs of each court location and are able to be maintained through a statewide update and patch release cycle. This deliverable will include all software required for SC-CMS operation, in both source and executable formats.[3] It shall be integrated and configured in a mutually agreed-upon standard configuration.

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[2]   It is anticipated that the SC-CMS production solution will be delivered in a similar manner as the pilot. It will be subject to the same conditions of delivery.

[3]   It is anticipated that the SC-CMS production solution will be delivered in a similar manner as the pilot. It will be subject to the same conditions of delivery.

It shall be fully tested with fully converted data and current local configuration for the pilot site and any sites which have implemented Release 1. The test must be complete and fully documented with no Severity Level 1 or Severity Level 2 errors. It shall be in a format that the Washington AOC can readily deploy and install.

5.   System Implementation

System implementation services and deliverables include all of the activities necessary to configure and deploy the system assembled in the previous subsection in superior courts across the State of Washington. It is anticipated that the application will be deployed county by county. Services associated with this phase of work are anticipated to be:

5.1.   Prepare Deployment Plan

Vendor shall develop a plan that provides details on the schedule, approach, and resources necessary to deploy the full pilot and production SC-CMSs to superior court locations across the state. The plan will include:

- Location(s).

- Schedule.

- Ready assessment.

- Scope and objectives of both pilot and production deployments.

- Steps required to roll back the pilot site to pre-implementation operations or to roll the pilot site into production operations under SC-CMS.

- Tasks, human resources, and other resources required for each local implementation, including:
    o   Court.
    o   AOC.
    o   Vendor.

These plans must be based on a site survey of network and equipment conducted by Vendor. It must effectively factor in lead time for resource ordering, data conversion, and deployment. It must also address parallel processing procedures.

5.2.   Assist Local Configuration

It is anticipated that the system will be configured to meet the needs of each superior court location. Vendor will train the management and technology support staff of each court to make optimal configuration decisions and assist them in implementing and testing their court's initial configuration. Vendor will assess the configuration requirements of each location and assist the court managers and technology support staff with the configuration.

In addition, Vendor will train and assist AOC as it facilitates these configuration efforts throughout the implementation of the SC-CMS. This support will include training on:

- Configuration facilitation and management methods.

- Court business process management and improvement using SC-CMS.

- Tools provided by Vendor for configuration management statewide.

This support will include assistance to local court technology support staff to ensure that the solution will operate efficiently in the local information and communication technology environment.

5.3.   Provide Local Interoperability Without the Information Networking Hub (INH)

As noted in EXHIBIT I, it is anticipated that the INH will support interoperability between SC-CMS and local applications including document management systems, accounting systems, e-filing systems, and the interfacing applications of partners in the court community. These partners include but are not limited to the local jail, law enforcement agency, prosecutor, public defender, and pretrial supervision agency. However, the INH will not be configured to provide this support until the end of 2014. As a result, Vendor will develop services to support this local interoperability for the pilot implementation and for four small early adopter courts and one large early adopter court. Vendor will prepare and implement up to 10 of these services for each of these courts. Vendor will be responsible for the development and implementation of all the technology required to make these services operate efficiently.

5.4.   Perform Local Data Conversion

Vendor will begin conversion efforts upon contract completion. Vendor must perform an in-depth analysis of current data structures and values and develop a plan for converting data and procedures for migrating and validating data. This will include three or more tests of the conversion for each location to ensure that conversion expectations are met. After receiving AOC approval, Vendor must convert existing data based on the combined efforts of AOC and Vendor.

5.5.   Assist Local Testing

Vendor will assist the management and staff in preproduction testing of the locally configured application and converted data. Vendor shall work with AOC and design a structured and repeatable testing protocol that:

- Supports the implementation schedule.

- Incorporates both program office (i.e., lab) and court work site testing.

- Employs automated testing tools to minimize the staff required to fully test the local implementation of the system.

- Enables testing of parallel processes.

AOC and local court staff will lead and perform system and user acceptance testing. Vendor will be responsible for:

- Implementation of the testing environments, data, and tools required.

- Development of the repeatable testing protocols.

- Component and business analysis support.

- Troubleshooting.

Vendor shall resolve all errors discovered in this testing in a timely manner and prior to production operations.

5.6.   Support Production System Deployment

It is anticipated that the system will be deployed iteratively, where each subsequent iteration will roll out the full system using a staged approach that implements the system in a handful of courts at a time. Vendor will provide on-site support of local management, court administration, and technical activities for each superior court location in the successful implementation of SC-CMS pilot and production releases. This on-site support will work as part of the AOC customer service staff to:

- Function as resident expert for consultation and problem resolution on SC-CMS court business operations.

- Maintain knowledge of all policies, procedures, reference materials, and auxiliary information that affect the SC-CMS client community.

- Respond to inquiries and requests while providing timely information to court personnel SC-CMS clients.

- Analyze and resolve complex, nonroutine, and unique SC-CMS application problems while transferring solution knowledge to AOC customer service staff.

- Interact with and communicate information between Court Education Professionals and other subject matter experts to ensure consistency of information to users of SC-CMS.

6.   Training

Implementing a new case management system and ancillary applications will require specific training services for all software and SC-CMS components. These services will include planning and coordination, development of training materials and tools, and delivery of training to AOC, county clerks, judges, and court administrators.

6.1.   Plan for Training

Vendor must provide a training plan that details the approach to training and how training for the users and administrators of the system will be delivered. The plan should detail how training will be tailored to specific roles within the judicial system, such as judges, court administrator, clerk staff, justice partners, public participants, etc. Training deliverables must include classroom sessions. All training materials shall be effectively cataloged, reusable, and modifiable by AOC.

6.2.   Provide Predesign Training of Program Personnel

It is anticipated that SC-CMS project staff and management will need to make well-informed design decisions throughout this engagement. Vendor will provide training on all SC-CMS software components to the SC-CMS project staff and management upon contract completion. This should include training on the technical and functional features and controls of all of the components that make up the system. This training should identify the design decisions that will be made in preparing the system for implementation statewide. It should also cover the design and configuration decisions that will be needed with each local implementation.

6.3.   Provide SC-CMS User and Administrator Training

Vendor will be required to provide training on all SC-CMS software components. The training approach should be tailored to the various roles within the courts and key stakeholders, including but not limited to:

- SC-CMS trainers within AOC.

- Judicial officers.

- Court administrators.

- Court staff.

- Justice partner management, where applicable.

- Justice partner staff.

- AOC system administrators.

- AOC customer service staff.

- AOC business analysts.

- Technical support staff.

The training approach should:

- Account for specific roles, as noted above.

- Focus training to develop the knowledge and skills needed to effectively use new SC-CMS components according to the daily activities of each role.

- Assist the courts in managing, changing, and improving court and clerk business processes using SC-CMS.

- Employ a train-the-trainer approach at a minimum.

- Deliver on-site training at AOC and at the work sites of each of the courts implementing the SC-CMS.

- Consider the limitations of training facilities in some local court locations.

6.4.   Produce Training Documentation

Vendor will be required to provide training and technical documentation for all SC-CMS software components. Documentation should include, but is not limited to:

- Step-by-step process instructions.

- Standard operating procedures.

- General system administration.

- Technical configuration.

- System maintenance.

- Data backup and disaster recovery

- Troubleshooting procedures.

7. System Support

System support services include all of the activities necessary to maintain, efficiently update, and generally support the system in the event of technical or other issues. At a minimum, Vendor will be expected to provide the following services:

7.1. Version and Patch Release Management

Vendor must provide a plan and structure for managing requests for system modifications and bug fixes. This structure shall be designed to operate under the direction of the SC-CMS project management organization. Any issue that requires a system-wide change must be tracked and included in either a patch for critical issues or a future release for functionality expansions or non-critical issues.

Given the component-based nature of the SC-CMS, a critical element of release management will be the methods used to ensure that a version update to a single SC-CMS component does not "break" the interactions that the component has with other SC-CMS components by altering data structures or processing models. Releases must be well documented, identifying the nature of the changes made, configuration issues, data backup and disaster recovery protocols, and changes in business processes. Vendor must provide a plan and protocol for planning, announcing, developing, testing, and deploying releases to ensure that software updates do not interrupt critical business processes.

7.2. Backup and Recovery Procedures and Tools

Vendor must provide procedures and tools for system and data backup and recovery to support the system availability performance requirements. Backup and recovery practices and procedures must be consistent with AOC standards. They should leverage Washington AOC backup and recovery facilities and procedures.

7.3. On-Site Support

Vendor shall provide on-site technical support for activities associated with implementation of SC-CMS. This will be provided throughout the course of implementation in all superior court locations. This support must be provided for a period of 1 year after the last superior court is in production operation.

7.4. Level 1 Help Desk Support

Vendor must assist AOC in establishing a Level 1 help desk support structure and staff the help desk until such time as AOC is fully capable of operating the help desk using its own staff. This Level 1 help desk support must meet AOC response and problem resolution time requirements for case management applications. It will apply to all Vendor-provided hardware, software, infrastructure, and services. It shall provide complete, accurate, and timely information about each request for service in the ISD incident tracking application.

Vendor shall provide documentation and training to AOC help desk staff and management. This should establish full help desk capability (at the level required for long-term system maintenance) within 1 year of the successful completion of the pilot implementation. Vendor shall augment AOC help desk staff until AOC has realized full help desk capability and shall provide additional resources sufficient to meet the additional short-term demand resulting from the implementation of SC-CMS.

7.5.   Ongoing Level 2 Support and Problem Resolution

Vendor shall provide Level 2 help desk support that meets response and problem resolution time requirements in Attachment C of the Contract. It will apply to all Vendor-provided hardware, software, infrastructure, and services. It will be coordinated through up to six designated Washington AOC points of contact. In addition, it shall provide complete, accurate, and timely information about each request for service in the ISD incident tracking application. Vendor shall provide support by a variety of channels, including telephone, e-mail, and Web application.

7.6.   Other Software and Hardware Maintenance

Vendor shall provide the following support and maintenance services for the products delivered and/or licensed to AOC as a part of this engagement:

- Provision of known error corrections by delivery of available patches via electronic communication and for download via the Internet.

- Provision of available minor updates (bundling of several error corrections in one version) for download via the Internet.

- Provision of available medium upgrades (version with additional/enhanced functions) for download via the Internet.

- Provision of available major upgrades (version with substantially enhanced volume of functions).

- Provision of information via electronic communication (e-mail) when new minor/medium/major updates are available.

- Extension of hardware manufacturer and third party software provider warranties.

The granting of rights of use and the delivery of the relevant license files for all minor, medium, and major upgrades shall be limited to the number and type of products provided by Vendor in this engagement.